

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: 2010-03-19 14:57:54

2. Agency: 027

3. Bureau: 00

4. Name of this Investment: Health Claims Data Warehouse

5. Unique Project (Investment) Identifier: 027-00-01-05-01-2040-00

6. What kind of investment will this be in FY 2011?: Mixed Life Cycle

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. What was the first budget year this investment was submitted to OMB? *

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap; this description may include links to relevant information which should include relevant GAO reports, and links to relevant findings of independent audits.

It is the mission of the U.S. Office of Personnel Management (OPM) to "Recruit, Retain and Honor a World-Class Workforce to Serve the American People." Since an element of recruiting and retaining any workforce is providing health benefits that provide the maximum value for their cost, the creation of a health claims data warehouse at OPM is completely aligned with the OPM mission. More specifically, it addresses the strategic goal to respect the workforce. It supports this goal by providing OPM with the capacity to collect, store, and analyze health claims and other information for federal employees covered under the Federal Employee Health Benefits Program (FEHBP), and then take actions to assure federal employees covered under this program receive the greatest possible value for their premium contributions. For these reasons the creation of a data warehouse and analytic capacity has been identified as one of the Director's priority initiatives. Close examination of claims experience will promote benefit designs that best meet the needs of federal workers and retirees. The FEHBP finances health services for approximately 8 million individuals (active employees, annuitants, and dependents). The overall spending under FEHBP was over 36 billion dollars in FY08. Yet, unlike most large employers, OPM does not receive detailed claims data on employee utilization of health services funded by the program. This lack of data limits OPM's ability to actively manage this program. Analysis of this data will enable OPM to more actively manage the program. OPM will therefore be better positioned to assure value, and to hold providers accountable for the services they provide to federal employees and retirees. This initiative is also in keeping with the OPM value of being an innovator and leader in addressing issues effecting federal employees and retirees. Finally, ongoing work by OPM toward the development of a data mart as part of the EHRI project provides OPM with expertise and infrastructure that will enhance efforts to develop a health claims warehouse.

- a. Provide here the date of any approved rebaselining within the past year, the date for the most recent (or planned) alternatives analysis for this investment, and whether this investment has a risk management plan and risk register.**

9. Did the Agency's Executive/Investment Committee approve this request? *

- a. If "yes," what was the date of this approval? ***

10. Contact information of Program/Project Manager?

- **Name:** *
- **Phone Number:** *
- **Email:** *

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)? *

- Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

Financial management system name(s)	System acronym	Unique Project Identifier (UPI) number
*	*	*

a. If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMI compliance area that this investment addresses (choose only one): *

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMI compliance area;
- Not a core financial system; does not need to comply with FFMI

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table 1: SUMMARY OF FUNDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY1 and earlier	PY 2009	CY 2010	BY 2011	BY+1 2012	BY+2 2013	BY+3 2014	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition:	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
SUBTOTAL:	*	*	*	*	*	*	*	*	*
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	*	*	*	*	*	*	*	*	*
Number of FTE represented by Costs:	*	*	*	*	*	*	*	*	*
TOTAL(including FTE costs)	*	*	*	*	*	*	*	*	*

2. If the summary of funding has changed from the FY 2010 President's Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table 1: Contracts/Task Orders Table

Contract or Task Order Number	Type of Contract/Task Order (In accordance with FAR Part 16)	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)
NONE											

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? *

a. If "yes," what is the date? *

Section D: Performance Information (All Capital Assets)

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2010	Recruit and hire the most talented and diverse Federal workforce possible to serve the American people	*	*	Percent (%) health claims data that is submitted to OPM for analysis.	0%	25%	
2010	Recruit and hire the most talented and diverse Federal workforce possible to serve the American people	*	*	Data file layouts and analytic formats established.	Not specified	Initial specifications complete	
2010	Ensure comparable recognition and reward for exemplary performance of current employees and honor the careers of Federal retirees	*	*	Research on legal issues and appropriate data security controls necessary to protect personal health information complete.	0%	Data security research and analysis complete.	
2010	Ensure comparable recognition and reward for exemplary performance of current employees and honor the careers of Federal retirees	*	*	Data Mart Availability = (% of time application available) / (Total available time per service agreement)	0%	60%	
2010	Ensure Comparable recognition and reward for exemplary performance of current employees and honor the careers of Federal Employees.	*	*	Identify FEHB policy and management relevant areas for ad hoc queries	0	5 categories of query topics, with specific drill downs of interest identified and specified in detail	
2011	Recruit and hire the most talented and diverse Federal workforce possible to serve the American people	*	*	Percent (%) health claims data that is submitted to OPM for analysis.	25%	85%	

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2011	Recruit and hire the most talented and diverse Federal workforce possible to serve the American people	*	*	Specific, reliable analyses can be conducted on data in data warehouse.	0%	5 distinct analyses completed.	
2011	Ensure comparable recognition and reward for exemplary performance of current employees and honor the careers of Federal retirees	*	*	All appropriate data security controls necessary to protect personal health information are identified and in place.	50%	100%	
2011	Ensure comparable recognition and reward for exemplary performance of current employees and honor the careers of Federal retirees	*	*	Data Mart Availability = (% of time application available) / (Total available time per service agreement)	60%	85%	
2011	Ensure Comparable recognition and reward for exemplary performance of current employees and honor the careers of Federal Employees	*	*	Refine and enhance ad hoc query areas and drill down needs	5 topics with drill down questions	10 categories of query topics, with specific drill downs of interest, identified and specified in detail	
2012	Recruit and hire the most talented and diverse Federal workforce possible to serve the American people	*	*	Percent (%) health claims data that is submitted to OPM for analysis.	85%	95%	
2012	Recruit and hire the most talented and diverse Federal workforce possible to serve the American people	*	*	Data warehouse is fully operational and supporting extensive program analysis.	5 distinct analyses	*Set of standard program reports*Ad-hoc query capacity for key questions* Ongoing statistically sophisticated analysis.	
2012	Ensure comparable recognition and	*	*	All aspects of data warehouse are in full	100%	100%	

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	reward for exemplary performance of current employees and honor the careers of Federal retirees			compliance with appropriate data security controls.			
2012	Ensure comparable recognition and reward for exemplary performance of current employees and honor the careers of Federal retirees	*	*	Data Mart Availability = (% of time application available) / (Total available time per service agreement)	85%	95%	
2012	Ensure comparable recognition and reward for exemplary performance of current employees and honor the careers of Federal retirees	*	*	Ad hoc query function is operational and available to OPM users	No active, real time query function	Query function fully functional for 10 categories for query topics (100 ad hoc queries submitted)	
2013	Recruit and hire the most talented and diverse Federal workforce possible to serve the American people	*	*	Percent (%) health claims data that is submitted to OPM for analysis.	95%	95+%, given change over in health plans it is assumed that 100% will never be achieved	
2013	Recruit and hire the most talented and diverse Federal workforce possible to serve the American people	*	*	Data warehouse is fully operational and supporting extensive program analysis.	*Set of standard program reports*Ad-hoc query capacity for key questions* Ongoing statistically sophisticated analysis.	*Set of standard program reports*Ad-hoc query capacity for key questions* Ongoing statistically sophisticated analysis.	
2013	Ensure comparable recognition and reward for exemplary performance of current employees and honor the careers of Federal retirees	*	*	All aspects of data warehouse are in full compliance with appropriate data security controls	100%	100%	
2013	Ensure comparable recognition and reward for	*	*	Data Mart Availability = (% of time application	95%	95%	

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	exemplary performance of current employees and honor the careers of Federal retirees			available) / (Total available time per service agreement)			
2013	Ensure Comparable recognition and reward for exemplary performance of current employees and honor the careers of Federal Employees	*	*	Ad hoc query function is operational and in routine use by key OPM users	100 ad hoc queries submitted	200 ad hoc queries submitted	
2014	Recruit and hire the most talented and diverse Federal workforce possible to serve the American people	*	*	Percent (%) health claims data that is submitted to OPM for analysis.	95%	95+%, given change over in health plans it is assumed that 100% will never be achieved	
2014	Recruit and hire the most talented and diverse Federal workforce possible to serve the American people	*	*	Data warehouse is fully operational and supporting extensive program analysis.	*Set of standard program reports*Ad-hoc query capacity for key questions* Ongoing statistically sophisticated analysis.	*Set of standard program reports*Ad-hoc query capacity for key questions* Ongoing statistically sophisticated analysis.	
2014	Ensure comparable recognition and reward for exemplary performance of current employees and honor the careers of Federal retirees	*	*	All aspects of data warehouse are in full compliance with appropriate data security controls	100%	100%	
2014	Ensure comparable recognition and reward for exemplary performance of current employees and honor the careers of Federal retirees	*	*	Data Mart Availability = (% of time application available) / (Total available time per service agreement)	95%	95%	
2014	Ensure Comparable recognition and reward for	*	*	Ad hoc query function is operational and in routine use	200 ad hoc queries submitted	250 ad hoc queries submitted	

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	exemplary performance of current employees and honor the careers of Federal Employees			by key OPM users			
2015	Recruit and hire the most talented and diverse Federal workforce possible to serve the American people	*	*	Percent (%) health claims data that is submitted to OPM for analysis.	95%	95+%, given change over in health plans it is assumed that 100% will never be achieved	
2015	Recruit and hire the most talented and diverse Federal workforce possible to serve the American people	*	*	Data warehouse is fully operational and supporting extensive program analysis.	*Set of standard program reports*Ad-hoc query capacity for key questions* Ongoing statistically sophisticated analysis.	*Set of standard program reports*Ad-hoc query capacity for key questions* Ongoing statistically sophisticated analysis.	
2015	Ensure comparable recognition and reward for exemplary performance of current employees and honor the careers of Federal retirees	*	*	All aspects of data warehouse are in full compliance with appropriate data security controls	100%	100%	
2015	Ensure comparable recognition and reward for exemplary performance of current employees and honor the careers of Federal retirees	*	*	Data Mart Availability = (% of time application available) / (Total available time per service agreement)	95%	95%	
2015	Ensure Comparable recognition and reward for exemplary performance of current employees and honor the careers of Federal Employees	*	*	Ad hoc query function is operational and in routine use by key OPM users	250 ad hoc queries submitted	275 ad hoc queries submitted	

Part II: Planning, Acquisition And Performance Information

Section A: Cost and Schedule Performance (All Capital Assets)

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Assign Project Manager	\$0.0	\$0.0	2010-07-19	2010-07-19	2010-07-19	2010-07-19	100.00%	100.00%
Assign Project Manager	\$0.0	\$0.0	2010-07-19	2010-07-19	2010-07-19	2010-07-19	100.00%	100.00%
Assign project Leader - TBD	*	*	2010-11-30		2010-11-30		0.00%	0.00%
Acquire Project Management Support Services	\$0.0	\$0.0	2010-07-28	2010-07-28	2010-08-02	2010-08-02	100.00%	100.00%
Develop Needs Statement	\$0.1	\$0.0	2010-08-16	2010-08-16	2010-09-10		70.00%	70.00%
Develop Project Charter	\$0.1	\$0.1	2010-08-02	2010-08-02	2010-08-30		90.00%	90.00%
Develop Project Management Plan	\$0.2	\$0.1	2010-08-02	2010-08-02	2010-09-30		45.00%	45.00%
Implement an Earned Value Management System	\$0.3	\$0.0	2010-08-09	2010-08-09	2010-12-01		5.00%	5.00%
Develop initial WBS	*	*	2010-08-09		2010-08-30		80.00%	80.00%
Develop High Level Plan (Roadmap)	*	*	2010-08-09		2010-09-15		50.00%	50.00%
Baseline the Schedule	*	*	2010-12-31		2010-12-31		0.00%	0.00%
Integrated Baseline Review	*	*	2011-02-01		2011-04-14		0.00%	0.00%
Develop Executive Steering Committee Charter	\$0.1	\$0.1	2010-08-02	2010-08-02	2010-08-30		90.00%	90.00%
Develop CCB Charter	\$0.1	\$0.0	2010-08-02	2010-08-02	2010-08-30		40.00%	40.00%
Develop Risk Management Plan	\$0.1	\$0.1	2010-08-02	2010-08-02	2010-09-15		60.00%	60.00%
Develop Acquisition Strategy	\$0.0	\$0.0	2010-08-26	2010-08-26	2010-08-30		50.00%	50.00%
Develop Requirements Management Plan	*	*	2010-09-01		2010-10-01		0.00%	0.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Develop and submit initial FY12 Exhibit 300	\$0.0	\$0.0	2010-08-09	2010-08-09	2010-08-24	2010-08-24	100.00%	100.00%
Develop FY13 Exhibit 300 and Business Case Analysis	*	*	2010-12-01		2011-09-01		0.00%	0.00%
Perform Market Research	\$0.1	\$0.1	2010-08-02	2010-08-02	2010-09-15		70.00%	70.00%
Develop Statement of Objectives for Acquiring System Integrator	*	*	2010-09-01		2010-09-30		0.00%	0.00%
Release Statement of Objectives for Acquiring System Integrator	*	*	2010-10-01		2010-10-29		0.00%	0.00%
Perform Source Selection and Evaluation for System Integrator	*	*	2011-11-01		2011-11-30		0.00%	0.00%
Award Contract for System Integrator	*	*	2010-12-15		2010-12-15		0.00%	0.00%
Kick-off and On-boarding with System Integrator	*	*	2011-01-01		2011-03-15		0.00%	0.00%
Requirements review and validation with System Integrator	*	*	2011-03-01		2011-05-15		0.00%	0.00%
Assessment of HCDW documented requirements (FY2011)	*	*	2011-04-01		2011-06-30		0.00%	0.00%
Design of HCDW based on documented requirements (FY2011)	*	*	2011-07-01		2011-09-30		0.00%	0.00%
Phased procurement and configuration of HW/SW/Infrastructure (FY2011)	*	*	2010-10-01		2011-09-30		0.00%	0.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Begin phased development of HCDW (FY2011)	*	*	2011-09-01		2011-09-30		0.00%	0.00%
Phased development of interfaces with carriers (FY2011)	*	*	2011-06-01		2011-09-30		0.00%	0.00%
Design of HCDW based on documented requirements (FY2012)	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Phased procurement and configuration of HW/SW/Infras tructure (FY2012)	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Phased development of HCDW (FY2012)	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Phased development of interfaces with carriers (FY2012)	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Testing of HCDW functionality as it is delivered in phases (FY2012)	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Deployment of HCDW functionality as it is delivered in phases (FY2012)	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Training users on HCDW functionality as it is delivered in phases (FY2012)	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Security Planning (Fy2011)	*	*	2010-10-01		2011-09-30		0.00%	0.00%
Security Planning and C&A (Fy2012)	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Travel Planning (FY2011)	*	*	2010-10-01		2011-09-30		0.00%	0.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Travel Planning (FY2012)	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Operations and Maintenance of HCDW (FY2012)	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Acquire Project Management Support Services	\$0.0	\$0.0	2010-07-27	2010-07-27	2010-08-02	2010-08-02	100.00%	100.00%

* - Indicates data is redacted.